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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

In re the patent application of: Lo et al
For: Method and Design of Epitaxial and Substrate Structures for High-Quality
Epitaxial Growth of Lattice-Mismatched Structures
Filed: February 10, 1999
Application No.: 09/247,413
Art Unit: 1775
Attorney Docket No.: NOR-9

INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this information Disclosure Statement

1. ☒ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Certification under MPEP 609(e)
10. ☒ Identification of Person(s) Making This Information Disclosure Statement

CERTIFICATE OF MAILING

[X] Certified Mail No: 2051823386 Date: 3-15-99

I hereby certify that this correspondence is being deposited with the United States Postal Service, return receipt requested in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on this date.

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MAR 22 1999

GROUP 1700

Judy H. Barron
Judy H. Barron

Section 1. Preliminary statements

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)

*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications (Information not listed in PTO 1449)

Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted

Section 5. Cumulative Patents or Publications

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO-1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of is being submitted with this information disclosure statement.

Section 6. Copies of Listed Information Items Accompanying This Statement

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

Section 7. Concise Explanation of Non-English Language Listed Information Items

Section 8. Translation(s) of Non-English Language Documents

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information

or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

Section 9. Certification under Rule 1.97

☐ The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☐ Is being paid with this Information Disclosure Statement

☐ Is not due because:

☐ (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in # 1.56(c) more than three months prior to the filing of the statement.

Section 10. Identification of Person(s) Making This INFORMATION DISCLOSURE STATEMENT

The person making this statement is

(a) ☐ the inventor(s) who signs below

(b) ☒ the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

☒ the information in the attorney's file

Christopher R. Pastel 3/15/99
Christopher R. Pastel, Registration No. 37,694
M&T Bank Building, 118 N. Tioga Street
Ithaca, New York 14850-4343

Voice: (607) 256-2000 Fax: (607) 256-3628

e-mail: bpm@bpmlegal.com

Michael Brown



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/247,413

Filing Date

02/10/99

First Named Inventor

Yu-Hwa Lo

Group Art Unit

1775

Examiner Name

Attorney Docket Number

NOR-9

Total Number of Pages in This Submission

30

ENCLOSURES (check all that apply)



Fee Transmittal Form



Fee Attached



Amendment / Response



After Final



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Response to Missing Parts/ Incomplete Application



Response to Missing Parts under 37 CFR 1.52 or 1.53



Assignment Papers (for an Application)



Drawing(s)



Licensing-related Papers



Petition Checklist and Accompanying Petition



To Convert a Provisional Application



Power of Attorney, Revocation Change of Correspondence Address



Terminal Disclaimer



After Allowance Communication to Group



Appeal Communication to Board of Appeals and Interferences



Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter



Additional Enclosure(s) (please identify below):

6 References

Remarks

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09/247,413

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Brown, Pinnisi & Michaels, PC

Signature

C. Pinnisi

Date

3/15/99

CERTIFICATE OF MAILING

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20518233876

Typed or printed name

Judy Barron

Signature

Judy Barron

Date

3/15/99